



IFW  
CASE PH 7483 NP

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Debra A. Wojcik  
Type or print name

*Debra A. Wojcik*  
Signature

6-9-04  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

LEE ET AL.

APPLICATION NO: 10/743,449

FILED: DECEMBER 19, 2003

FOR: SUBSTITUTED TRICYCLIC GAMMA-CARBOLINES AS  
SEROTONIN RECEPTOR AGONISTS AND ANTAGONISTS

Mail Stop **Box Amendment**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants believe this paper is being filed before the mailing date of a first Office Action on the merits, and so under 37 C.F.R. §1.97(b)(3) no fees are required. If a fee is deemed to be required, the Commissioner is hereby authorized to charge such fee to Deposit Account No. 19-3880.

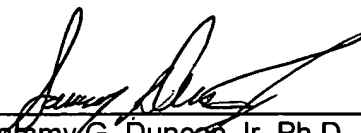
In accordance with 37 C.F.R. §1.56, applicants wish to call the Examiner's attention to the references cited on the attached form(s) PTO-1449.

Copies of these references are enclosed herewith.

The Examiner is requested to consider the foregoing information in relation to this application and indicate that each reference was considered by returning a copy of the initialed PTO 1449 form(s).

Respectfully submitted,

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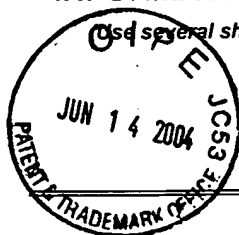
Date: 6/8/04

FORM PTO-1449  
(REV. 7-85)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE CITATION

ATTY. DOCKET NO.  
PH 7483 NP  
APPLICATION NO.  
10/743,449  
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LEE ET AL.  
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DECEMBER 19, 2003

Group



## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE |
|---------------------|----|-----------------|----------|------------------|-------|----------|-------------|
|                     | AA | 3,914,421       | 10/21/75 | Rajagopalan      |       |          |             |
|                     | AB | 4,013,652       | 3/22/77  | Rajagopalan      |       |          |             |
|                     | AC | 4,115,577       | 9/19/78  | Rajagopalan      |       |          |             |
|                     | AD | 4,183,936       | 1/15/80  | Rajagopalan      |       |          |             |
|                     | AE | 4,219,550       | 8/26/80  | Rajagopalan      |       |          |             |
|                     | AF | 4,238,607       | 12/9/80  | Rajagopalan      |       |          |             |
|                     | AG | 6,548,493       | 4/15/03  | Robichaud et al. |       |          |             |
|                     | AH | 6,552,017       | 4/22/03  | Robichaud et al. |       |          |             |
|                     | AI |                 |          |                  |       |          |             |
|                     | AJ |                 |          |                  |       |          |             |
|                     | AK |                 |          |                  |       |          |             |
|                     | AL |                 |          |                  |       |          |             |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER | DATE     | OFFICE | CLASS | SUBCLASS | TRANSLATION              |                          |
|--|----|-----------------|----------|--------|-------|----------|--------------------------|--------------------------|
|  |    |                 |          |        |       |          | YES                      | NO                       |
|  | AM | EP 0 473 550    | 3/4/92   | EP     |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
|  | AN | WO 00/35922     | 6/22/00  | PCT    |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
|  | AO | WO 00/77001     | 12/21/00 | PCT    |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
|  | AP | WO 00/77002     | 12/21/00 | PCT    |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
|  | AQ | WO 00/77010     | 12/21/00 | PCT    |       |          | <input type="checkbox"/> | <input type="checkbox"/> |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, Etc.)

|  |    |  |
|--|----|--|
|  | AR | Chojnacka-Wójcik, E. et al., "Involvement of 5-HT <sub>2C</sub> Receptors in the m-CPP-Induced Antinociception in Mice", Pol. J. Pharmacol., Vol. 46, pp. 423-428 (1994)   |
|  | AS | Cryan, J.F. et al., "Antidepressant-Like Behavioral Effects Mediated by 5-Hydroxytryptamine <sub>2C</sub> Receptors", The Journal of Pharmacology and Experimental Therapeutics, Vol. 295, No. 3, pp. 1120-1126 (2000) |
|  | AT | Grottick, A.J. et al., "Activation of 5-HT <sub>2C</sub> receptors reduces the locomotor and rewarding effects of nicotine", Psychopharmacology, Vol. 157, pp. 292-298 (2001)  |

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial of reference considered, whether or not citation is in conformance with MPEP 609: Draw a line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

FORM PTO-1449  
(REV. 7-85)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE**INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

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**FOREIGN PATENT DOCUMENTS**

|  |     | DOCUMENT NUMBER | DATE    | OFFICE | CLASS | SUBCLAS<br>S | TRANSLATION<br>YES NO    |                          |
|--|-----|-----------------|---------|--------|-------|--------------|--------------------------|--------------------------|
|  | 2AA | WO 02/059129    | 8/1/02  | PCT    |       |              | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 2AB | WO 03/014118    | 2/20/03 | PCT    |       |              | <input type="checkbox"/> | <input type="checkbox"/> |
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|  | AZ  |                 |         |        |       |              | <input type="checkbox"/> | <input type="checkbox"/> |

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|  |     |  |
|--|-----|--|
|  | 3AA | Grottick, A.J. et al., "Studies to Investigate the Role of 5-HT <sub>2C</sub> Receptors on Cocaine- and Food-Maintained Behavior", The Journal of Pharmacology and Experimental Therapeutics, Vol. 293, No. 3, pp. 1183-1191 (2000)  |
|  | 3AB | Hoffman, B.J. et al., "Distribution of serotonin 5-HT <sub>1C</sub> receptor mRNA in adult rat brain", FEBS Letters, Vol. 247, No. 2, pp. 453-462 (1989)   |
|  | 3AC | Hoyer, D. et al., "VII. International Union of Pharmacology Classification of Receptors for 5-Hydroxytryptamine (Serotonin)", Pharmacological Reviews, Vol. 46, No. 2, pp. 157-203 (1994)  |
|  | 3AD | Kinbara, K. et al., "Chiral discrimination upon crystallization of the diastereomeric salts of 1-arylethylamines with mandelic acid or <i>p</i> -methoxymandelic acid: interpretation of the resolution efficiencies on the basis of the crystal structures", J. Chem. Soc., Perkin Trans. 2, pp. 2615-2622 (1996) |
|  | 3AE | Mazzola-Pomietto, P. et al., "Evidence that <i>m</i> -chlorophenylpiperazine-induced hyperthermia in rats is mediated by stimulation of 5-HT <sub>2C</sub> receptors", Psychopharmacology, Vol. 123, pp. 333-339 (1996)  |
|  | 3AF | Millan, M.J. et al., "5-HT <sub>2C</sub> receptors mediate penile erections in rats: actions of novel and selective agonists and antagonists", European Journal of Pharmacology, Vol. 325, pp. 9-12 (1997)   |
|  | 3AG | Nonogaki, K. et al., "Leptin-independent hyperphagia and type 2 diabetes in mice with a mutated serotonin 5-HT <sub>2C</sub> receptor gene", Nature Medicine, Vol. 4, No. 10, pp. 1152-1156 (1998)   |
|  | 3AH | Rittenhouse, P.A. et al., "Evidence that ACTH Secretion Is Regulated by Serotonin <sub>2A/2C</sub> (5-HT <sub>2A/2C</sub> ) Receptors", The Journal of Pharmacology and Experimental Therapeutics, Vol. 271, No. 3, pp. 1647-1655 (1994)   |
|  | 3AI | Sharpley, A.L. et al., "Slow Wave Sleep in Humans: Role of 5-HT <sub>2A</sub> and 5-HT <sub>2C</sub> Receptors", Neuropharmacology, Vol. 33, No. 3/4, pp. 467-471 (1994)   |
|  | 3AJ | Sundberg, R.J., Indoles, Academic Press Limited, publ., p. v (table of contents) (1996)  |
|  | 3AK | Tomori, H. et al., "Facile Optical Resolution of a Dibenzopyrazinoazepine Derivative and the Nature of Molecular Recognition of Amines by Chiral 2,3-Di-O-(arylcarbonyl) tartaric Acids", Bull. Chem. Soc. Jpn., Vol. 69, No. 12, pp. 3581-3590 (1996)   |
|  | 3AL | Vickers, S.P. et al., "Comparative effects of continuous infusion of <i>m</i> CPP, Ro 60-0175 and <i>d</i> -fenfluramine on food intake, water intake, body weight and locomotor activity in rats", British Journal of Pharmacology, Vol. 130, pp. 1305-1314 (2000)  |
|  | 3AM | Vickers, S.P. et al., "Evidence that hypophagia induced by <i>d</i> -fenfluramine and <i>d</i> -norfenfluramine in the rat is mediated by 5-HT <sub>2C</sub> receptors", Neuropharmacology, Vol. 41, pp. 200-209 (2001)  |
|  | 3AN | Vickers, S.P. et al., "Reduced satiating effect of <i>d</i> -fenfluramine in serotonin 5-HT <sub>2C</sub> receptor mutant mice", Psychopharmacology, Vol. 143, pp. 309-314 (1999)  |

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